

FORM PTO-1390  
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

12604/10

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/510562**INTERNATIONAL APPLICATION NO  
**PCT/EP03/02465**INTERNATIONAL FILING DATE  
(11.03.2003)  
**11 March 2003**PRIORITY DATE CLAIMED:  
(10.04.2002)  
**10 April 2002**

TITLE OF INVENTION

**CONVERTER SYSTEM, METHOD, AND CONVERTER**

APPLICANT(S) FOR DO/EO/US



**Klaus KNELLER**

Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)).  
The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (German Language)
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☒ A substitute specification.
16. ☒ A power of attorney.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Cover Sheet of Published International Application, PCT-EASY (PCT/RO/101), Search Report, International Preliminary Examination Report, Marked-Up Version of the Substitute Specification

|   |                     |  |  |   |           |
|---|---------------------|--|--|---|-----------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.31)<br><b>10/510562</b>  |                     | INTERNATIONAL APPLICATION NO.<br><b>PCT/EP03/02465</b> |  | ATTORNEY'S DOCKET NUMBER<br><b>12604/10</b> |           |
| 21. <input checked="" type="checkbox"/> The following fees are submitted:<br><b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</b><br>Neither international preliminary examination fee (37 CFR 1.482)<br>nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO<br>and International Search Report not prepared by the EPO or JPO ..... <b>\$1110.00</b><br><br>International preliminary examination fee (37 CFR 1.482) not paid to<br>USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$950.00</b><br><br>International preliminary examination fee (37 CFR 1.482) not paid to USPTO<br>but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$790.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$750.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> |                     |  |  | <b>CALCULATIONS PTO USE ONLY</b>            |           |
|   |                     |  |  |   |           |
|   |                     |  |  |   |           |
|   |                     |  |  |   |           |
|   |                     |  |  |   |           |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>   |                     |  |  | <b>\$ 950.00</b>                            |           |
| Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months<br>from the earliest claimed priority date (37 CFR 1.492(e)).  |                     |  |  | <b>\$</b>                                   |           |
| <b>CLAIMS</b>   | <b>NUMBER FILED</b> | <b>NUMBER EXTRA</b>                                    | <b>RATE</b>  |   |           |
| Total Claims  | 29 - 20 =           | 9  | X <b>\$18.00</b>   | \$ 162.00                                   |           |
| Independent Claims  | 4 - 3 =             | 1  | X <b>\$88.00</b>   | \$ 88.00                                    |           |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |                     |  | + <b>\$300.00</b>  | \$  |           |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |                     |  |  | <b>\$ 1,200.00</b>                          |           |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated<br>above are reduced by 1/2.   |                     |  |  | <b>\$</b>                                   |           |
| <b>SUBTOTAL =</b>   |                     |  |  | <b>\$ 1,200.00</b>                          |           |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than<br>30 months from the earliest claimed priority date (37 CFR 1.492(f)).   |                     |  |  | <b>\$</b>                                   |           |
| <b>TOTAL NATIONAL FEE =</b>   |                     |  |  | <b>\$ 1,200.00</b>                          |           |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must<br>be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per<br>property   |                     |  |  | <b>\$ 40.00</b>                             |           |
| <b>TOTAL FEES ENCLOSED =</b>  |                     |  |  | <b>\$ 1,240.00</b>                          |           |
|   |                     |  |  | <b>Amount to be<br/>refunded:</b>           | <b>\$</b> |
|   |                     |  |  | <b>charged</b>                              | <b>\$</b> |
| a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.<br>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <b>11-0600</b> in the amount of <b>\$1,240.00</b> to cover the above fees.<br>A duplicate copy of this sheet is enclosed.<br>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any<br>overpayment to Deposit Account No. <b>11-0600</b> . A copy of this sheet is enclosed.<br>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card<br/>information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.   |                     |  |  |   |           |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b))<br>must be filed and granted to restore the application to pending status.  |                     |  |  |   |           |
| SEND ALL CORRESPONDENCE TO:<br>KENYON & KENYON<br><br>One Broadway<br>New York, New York 10004<br>CUSTOMER NO. 26646  |                     |  | <br>SIGNATURE<br><br>Clifford A. Ulrich, (Reg. No. 42,194)<br>NAME<br><br>DATE |   |           |